

Electronic Acknowledgement Receipt

EFS ID:	2416460
Application Number:	10679071
International Application Number:	
Confirmation Number:	5914
Title of Invention:	Zero premium equity participating securities
First Named Inventor/Applicant Name:	Kevin G. Woodruff
Customer Number:	26285
Filer:	Mark G. Knedelsen
Filer Authorized By:	
Attorney Docket Number:	030675
Receipt Date:	02-NOV-2007
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Application Type:	Utility under 35 USC 111(a)

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Submitted with Payment	yes
Payment was successfully received in RAM	\$180
RAM confirmation Number	5668
Deposit Account	111110

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /zip	Pages (if appl.)		
1	Miscellaneous Incoming Letter	Amendment_Transmittal.pdf	269999 620d965987603aa8882e05cc9315976 4063e068	no	4		
Warnings:							
Information:							
2		Response.pdf	66856 256024ca3c333155659196ddcd377e87c 2b4b7263	yes	16		
Multipart Description/PDF files in .zip description							
Document Description			Start	End			
Amendment - After Non-Final Rejection			1	1			
Claims			2	9			
Applicant Arguments/Remarks Made in an Amendment			10	16			
Warnings:							
Information:							
3		IDS.pdf	422491 300b67901d5d72de072541fb3320fe 1231799	yes	4		
Multipart Description/PDF files in .zip description							
Document Description			Start	End			
Information Disclosure Statement Letter			1	2			
Information Disclosure Statement (IDS) Filed			3	4			
Warnings:							
Information:							
4	NPL Documents	Rev_Rul_2003_97_NPL.pdf	694306 7b274e40992ca93573d3b8d70fb5017 972739d05	no	11		
Warnings:							
Information:							
5	NPL Documents	10677172.pdf	1139823 3a6497315d772c20e651051031e656 c06427b5	no	33		
Warnings:							
Information:							
6	NPL Documents	10677172_9_27_2007_OA_NPL.pdf	484056 1540eb4a868645792d3e471a9a5999 46543066	no	13		

Warnings:					
Information:					
7	NPL Documents	10679054_7_31_2007_OA _NPL.pdf	626180 2a4cc59d70aac2d5cef474e0f1b1057e9 fe39b	no	17
Warnings:					
Information:					
8	Fee Worksheet (PTO-06)	fee-info.pdf	8173 e0fc1662b611f33d9639653ad7035f108 de2214c	no	2
Warnings:					
Information:					
Total Files Size (in bytes):				3711884	
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p>New Applications Under 35 U.S.C. 111 If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p>National Stage of an International Application under 35 U.S.C. 371 If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p>New International Application Filed with the USPTO as a Receiving Office If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					